

01/17/02

JC971 U.S. PRO

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+

# UTILITY PATENT APPLICATION TRANSMITTAL

Only for new nonprovisional application under 37 C.F.R. § 1.53(b))

Attorney Docket No.	IN-5421
First Named Inventor	Valerie L. CRUMLEY, et al
Filing Date	Thursday, January 17, 2002
Title	BASECOAT COATING COMPOSITION HAVING LOW VOLATILE ORGANIC CONTENT AND COMPOSITE COATING PREPARED THEREFROM
Express Mail Certificate	EH799045256US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application, Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages  ]  
 - (preferred arrangement set forth below)  
 - Descriptive title of the invention  
 - Cross References to Related Application  
 - Statement Regarding Fed sponsored R & D  
 - Reference to Microfiche Appendix  
 - Background of the invention  
 - Background of the invention  
 - Brief Summary of the invention  
 - Brief Description of the Drawings (if filed)  
 - Detailed Description  
 - Claim(s)  
 - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C.113) [Total Sheets  ]
5. ☒ Oath or Declaration [Total Sheets  ]  
 a. ☒ Newly executed (original or copy)  
 b. ☐ Copy from a prior application (37 CFR § 1.63(d))  
 (for continuation/divisional with Box 17 completed)  
 i. ☐ **DELETION OF INVENTOR(S)**  
 Signed statement attached deleting
6. ☒ Application Data Sheet. See 37 CFR 1.76
7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
 a. ☐ Computer Readable Form (CRF)  
 b. Specification Sequence Listing on:  
 i. ☐ CD-ROM or CD-R (2 copies); or  
 ii. ☐ paper  
 c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s)) ✓
10. ☒ 37 CFR§3.73(b) Statement (when there is an assignee) ☒ Power Of Attorney
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure Statement (IDS)/ PTO-1449 ☒ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ other: .....

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment;

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 0 filed on

Prior application information:

Examiner

Group/Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application from which an oath or declaration is supplied under Box 4b, is considered to be part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Labelor ☐ Correspondence address below


26922

PATENT-TRADEMARK OFFICE

Country	USA	Telephone	(248) 948-2021	Fax	(248) 948-2093
Name (print Type)	Anne Gerry Sabourin	Registration No. (Attorney Agent)	33,772		
Signature	<i>Anne G. Sabourin</i>			Date	January 17, 2002

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<b>FEE TRANSMITTAL</b> Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 2001		Attorney Docket No.		IN-5421																																																																																																																									
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1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to change indicated fees and credit any over payments to:  Deposit Account Number <b>23-3425</b>  Deposit Account Name <b>BASF Corporation</b> <input checked="" type="checkbox"/> Change Any Additional Fee <input checked="" type="checkbox"/> Charge the Issue Fee Set in 37 CFR § Required Under 37 CFR §§    1.18 at the Mailing of the Notice of 1.16 and 1.17    Allowance			<b>3. ADDITION FEES</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Fee Code</th> <th>Entity Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>Surcharge -late filing fee or oath</td><td></td></tr> <tr><td>127</td><td>50</td><td>provisional ailing or cover sheet</td><td></td></tr> <tr><td>139</td><td>130</td><td>Non-English specification</td><td></td></tr> <tr><td>147</td><td>2,520</td><td>For filing request for examination</td><td></td></tr> <tr><td>112</td><td>920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115</td><td>110</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116</td><td>400</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117</td><td>920</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118</td><td>1,440</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128</td><td>1,960</td><td>Extension for reply within fifth month</td><td></td></tr> <tr><td>119</td><td>320</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120</td><td>320</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121</td><td>270</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140</td><td>110</td><td>Petition to revive-unavoidable</td><td></td></tr> <tr><td>141</td><td>1,280</td><td>Petition to revive-unintentional</td><td></td></tr> <tr><td>142</td><td>1,280</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143</td><td>450</td><td>Design issue fee</td><td></td></tr> <tr><td>144</td><td>670</td><td>Plant issue fee</td><td></td></tr> <tr><td>122</td><td>130</td><td>Petition to the Commissioner</td><td></td></tr> <tr><td>123</td><td>50</td><td>Petition related to provisional application</td><td></td></tr> <tr><td>126</td><td>240</td><td>Submission of information Disclosure Statement</td><td></td></tr> <tr><td>581</td><td>40</td><td>Recording each patent Assignment per property (time number of properties)</td><td>\$40.</td></tr> <tr><td>146</td><td>790</td><td>Filing a submission after final rejection</td><td></td></tr> <tr><td>149</td><td>790</td><td>For each additional invention to be examined (37 CFR 1.129(b)) (specify)</td><td></td></tr> <tr><td colspan="3">Other fee</td><td></td></tr> <tr><td colspan="3">*Reduced By Basic Fee Paid Filing</td><td></td></tr> <tr><td colspan="3"><b>SUBTOTAL(3)</b></td><td><b>\$40.</b></td></tr> </tbody> </table>			Large Fee Code	Entity Fee (\$)	Fee Description	Fee Paid	105	130	Surcharge -late filing fee or oath		127	50	provisional ailing or cover sheet		139	130	Non-English specification		147	2,520	For filing request for examination		112	920*	Requesting publication of SIR prior to Examiner action		113	1,840	Requesting publication of SIR after Examiner action		115	110	Extension for reply within first month		116	400	Extension for reply within second month		117	920	Extension for reply within third month		118	1,440	Extension for reply within fourth month		128	1,960	Extension for reply within fifth month		119	320	Notice of Appeal		120	320	Filing a brief in support of an appeal		121	270	Request for oral hearing		138	1,510	Petition to institute a public use proceeding		140	110	Petition to revive-unavoidable		141	1,280	Petition to revive-unintentional		142	1,280	Utility issue fee (or reissue)		143	450	Design issue fee		144	670	Plant issue fee		122	130	Petition to the Commissioner		123	50	Petition related to provisional application		126	240	Submission of information Disclosure Statement		581	40	Recording each patent Assignment per property (time number of properties)	\$40.	146	790	Filing a submission after final rejection		149	790	For each additional invention to be examined (37 CFR 1.129(b)) (specify)		Other fee				*Reduced By Basic Fee Paid Filing				<b>SUBTOTAL(3)</b>			<b>\$40.</b>
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PATENT

(Practitioner's Docket No. IN-5421)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Valerie L. CRUMLEY, Patricia G.  
O'CALLAGHAN and Timothy P.  
KANDOW

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: Thursday, January 17, 2002

Examiner: Not Assigned

For: BASECOAT COATING COMPOSITION HAVING LOW VOLATILE ORGANIC  
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Commissioner of Patents  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EH799045256US Date of Deposit January 17, 2002

I hereby certify that the following attached paper or fee

☒ Combined Declaration and Power of Attorney on ☐ 04 pages

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

(Typed or printed name of person mailing paper or fee)



Signature of person mailing paper or fee)

Note: Each paper must have its own certificate and the "Express Mail" label number as a part thereof or attached thereto. When, as here, the certification is presented on a separate sheet, that sheet must (1) be signed and (2) fully identify and be securely attached to the paper or fee it accompanies. Identification should include the serial number and filing date of the application as well as the type of paper being filed, e.g.

complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. If the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

Note: The label number need not be placed on each page. It should, however, be placed on the first page of each separate document, such as, a new application, amendment, assignment, and transmittal letter for a fee, along with the certificate of mailing by "Express Mail." Although the label number may be on checks, such a practice is not required. In order not to deface formal drawings it is suggested that the label number be placed on the back of each formal drawing of the drawings be accompanied by a set of informal drawings on which the label number is placed.

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Patent\*: Issue Date  
Reexamination No.: Issue Date  
Reissue: Issue Date

\*NOTE: Insert name(s) of inventor(s) and title for patent.

Assistant Commissioner for Patents  
Washington, D.C. 20.231

**STATEMENT UNDER 37 C.F.R. § 3.73(b)-  
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION**

**CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10\***  
(When using Express Mail, the Express Mail label number is mandatory;  
Express Mail certification optional.)

I hereby certify that, on the date shown below, this correspondence is being:

**MAILING**

☐ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner  
for Patents, Washington, D.C. 20231

**37 C.F.R. § 1.8(a)**

**37 C.F.R. § 1.10\***

☐ with sufficient postage as first class mail.

☒ as "Express Mail Post Office to Addressee"  
Mailing Label No: **E H799045256US** (mandatory)

**TRANSMISSION**

☐ transmitted by facsimile to the Patent and Trademark Office.

Date: January 17, 2002

Signature

Marjorie Ellis

(type or print name of person certifying)

(Statement under 37 C.F.R. § 3.73(b) - Establishing Right of Assignee to Take Action [16-16]-page1)

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

**IDENTIFICATION OF ASSIGNEE**

BASF CORPORATION

2. \_\_\_\_\_  
Name of assignee  
CORPORATION

\_\_\_\_\_  
Type of assignee, e.g., corporation, partnership, university, government agency, etc.

**PERSON(s) AUTHORIZED TO SIGN**

3. Anne Gerry Sabourin, 33,772 ; Mary E. Golota, 36,814; Michael F. Morgan, 42,906  
(type name of person authorized to sign on behalf of assignee)  
Managing Counsel; Senior Attorney; Attorney

\_\_\_\_\_  
Title of person authorized to sign

(complete the following, if applicable)

☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

**BASIS OF ASSIGNEE'S INTEREST**

Ownership by the assignee is established as follows:

A.

1. ☐ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at

Reel \_\_\_\_\_, Frame \_\_\_\_\_.

2. ☒ An assignment (document) separately being submitted for recordal herewith.

**AND/OR**

B.

1. ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: \_\_\_\_\_  
Name of inventor(s)  
To: \_\_\_\_\_

Recorded in PTO:  
Reel \_\_\_\_\_ Frame \_\_\_\_\_

2025-01-17 10:55:06

(check item below, and add details, if applicable)

☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

**COPIES OF DOCUMENTS IN CHAIN OF TITLE**

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☐ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

☐ A

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☐ 2

☐ B

☐ 1.

☐ 2

☐ 3.

Reg. No: 33,772

  
SIGNATURE OF ATTORNEY

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PATENT

(Practitioner's Docket No. IN-5421)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of

Valerie L. CRUMLEY, Patricia G.  
O'CALLAGHAN and Timothy P.  
KANDOW

US Serial No. Herewith

Group Art Unit: Not Assigned

Filed: Thursday, January 17, 2002

Examiner: Not Assigned

For: BASECOAT COATING COMPOSITION HAVING LOW VOLATILE ORGANIC  
CONTENT AND COMPOSITE COATING PREPARED THEREFROM

Commissioner of Patents  
Washington, D.C. 20231

EXPRESS MAIL CERTIFICATE

"Express Mail" label number EH799045256US Date of Deposit January 17, 2002

I hereby certify that the following attached paper or fee

☒ Application

Specification on  pages; claims on  pages;  
the abstract on  page(s); drawings on  page(s).

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Marjorie Ellis

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complete application, specification and drawings, responses to rejection or refusal, notice of appeal, etc. if the serial number of the application is not known, the identification should include at least the name of the inventor(s) and the title of the invention.

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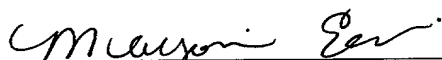
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